

DRAFT
ANNUAL SYNAR REPORT

42 U.S.C. 300x-26
OMB No 0930-0222

FFY 2013
State: Virginia



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Prevention
www.samhsa.gov

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INTRODUCTION

The Annual Synar Report (ASR) format provides the means for States to comply with the reporting provisions of the Public Health Service Act (42 U.S.C. 300x-26) and the Tobacco Regulation for the SAPT Block Grant (45 C.F.R. 96.130 (e)).

Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project; 1 Choke Cherry Road, 7th Floor Rockville, Maryland 20857.

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 05-31-2013.

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2012 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2013 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate State compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist States¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

How the Synar report can help States

The information gathered for the Synar report can help States describe and analyze substate needs for program enhancements. These data can also be used to report to the State legislature and other State and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from State Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of State progress in implementing Synar, including State difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

¹The term "State" is used to refer to all the States and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2413 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or email. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2012. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

The State must upload one copy of the ASR using the online WebBGAS (Block Grant Application System). In addition, the following items must be uploaded to WebBGAS:

- FFY 2013 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1–5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel) to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections.

Each State SSA Director has been emailed a login ID and password to log onto the Synar section of the WebBGAS site.

Additionally, the State must submit one signed original of the report (including the signed Funding Agreements/Certifications), as well as one additional copy of the signed Funding Agreements/Certifications, to the Grants Management Officer at the address below:

Grants Management Officer
Office of Program Services
Division of Grants Management
Substance Abuse and Mental Health Services Administration

Regular Mail:

1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20857

Overnight Mail:

1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20850

FFY 2013: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

PUBLIC HEALTH SERVICES ACT AND SYNAR AMENDMENT
42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below.
SYNAR SURVEY SAMPLING METHODOLOGY
The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2013 is up-to-date and approved by the Center for Substance Abuse Prevention.
SYNAR SURVEY INSPECTION PROTOCOL
The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2013 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: Virginia
Name of Chief Executive Officer or Designee: The Honorable William A. Hazel, Jr. M.D.
Signature of CEO or Designee:
Title: Secretary, Health and Human Resources Date Signed:
If signed by a designee, a copy of the designation must be attached.

SECTION I: FFY 2012 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

42 U.S.C. 300x-26 requires the States to report information regarding the sale/distribution of tobacco products to individuals under age 18.

1. Please indicate any changes or additions to the State tobacco statute(s) relating to youth access since the last reporting year. If any changes were made to the State law(s) since the last reporting year, please attach a photocopy of the law to the hard copy of the ASR and also upload a copy of the State law to WebBGAS. (see 42 U.S.C. 300x-26).

- a. Has there been a change in the *minimum sale age* for tobacco products?

☐ Yes ☒ No

If Yes, current minimum age: ☐ 19 ☐ 20 ☐ 21

- b. Have there been any changes in State law that impact the State's *protocol for conducting Synar inspections*? ☐ Yes ☒ No

If Yes, indicate change. (Check all that apply.)

- ☐ Changed to require that law enforcement conduct inspections of tobacco outlets
☐ Changed to make it illegal for youth to possess, purchase or receive tobacco
☐ Changed to require ID to purchase tobacco
☐ Other change(s) (Please describe.) _____

- c. Have there been any changes in the law concerning *vending machines*?

☐ Yes ☒ No

If Yes, indicate change. (Check all that apply.)

- ☐ Total ban enacted
☐ Banned from location(s) accessible to youth
☐ Locking device or supervision required
☐ Other change(s) (Please describe.) _____

- d. Have there been any changes in State law that impact the following?

Licensing of tobacco vendors ☐ Yes ☒ No

Penalties for sales to minors ☐ Yes ☒ No

2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the State Plan (see 42 U.S.C. 300x-51) were made public within the State prior to submission of the ASR. (Check all that apply.)

☒ Placed on file for public review

☒ Posted on a State agency Web site (Please provide exact Web address and the date when the FFY 2013 ASR was posted to this Web address.)

- ☒ Notice published in a newspaper or newsletter
 - ☒ Public hearing
 - ☐ Announced in a news release, a press conference, or discussed in a media interview
 - ☐ Distributed for review as part of the SAPT Block Grant application process
 - ☐ Distributed through the public library system
 - ☐ Published in an annual register
 - ☐ Other *(Please describe.)* _____
-

3. Identify the following agency or agencies (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

a. The State agency(ies) designated by the Governor for oversight of the Synar requirements:

Department of Behavioral Health and Developmental Services

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

b. The State agency(ies) responsible for conducting random, unannounced Synar inspections:

Department of Alcoholic Beverage Control

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

c. The State agency(ies) responsible for enforcing youth tobacco access law(s):

Department of Alcoholic Beverage Control

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

4. Identify the State agency responsible for tobacco prevention activities (the agency that receives the Centers for Disease Control and Prevention's National Tobacco Control Program funding).

Virginia Department of Health

Has the responsible agency changed since last year's Annual Synar Report?

☐ Yes ☒ No

a. Describe the coordination and collaboration that occur between the agency responsible for tobacco prevention and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies

- ☐ Are the same
- ☐ Have a formal written memorandum of agreement
- ☒ Have an informal partnership
- ☐ Conduct joint planning activities
- ☐ Combine resources

☐ Have other collaborative arrangement(s) (Please describe.) _____

5. Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2012 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

a. Which one of the following describes the enforcement of youth access to tobacco laws carried out in your State? (Check one category only.)

- ☐ Enforcement is conducted exclusively by local law enforcement agencies.
☒ Enforcement is conducted exclusively by State agency(ies).
☐ Enforcement is conducted by both local *and* State agencies.

b. The following items concern penalties imposed for violations of youth access to tobacco laws by LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES. Please fill in the number requested. If State law does not allow for an item, please mark "NA" (not applicable). If a response for an item is unknown, please mark "UNK." The chart must be filled in completely.

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	UNK	46	UNK
Number of <u>fin es assessed</u>	UNK	UNK	UNK
Number of <u>permits/licenses suspended</u>	NA		NA
Number of <u>permits/licenses revoked</u>	NA		NA
Other (Please describe.)	UNK	UNK	UNK

c. Which one of the following best describes the level of enforcement of youth access to tobacco laws carried out in your State? (Check one category only.)

- ☐ Enforcement is conducted only at those outlets randomly selected for the Synar survey.
☐ Enforcement is conducted only at a subset of outlets not randomly selected for the Synar survey.
☒ Enforcement is conducted at a combination of outlets randomly selected for the Synar survey and outlets not randomly selected for the Synar survey.

d. Did every tobacco outlet in the State receive at least one enforcement compliance check in the last year?

- ☐ Yes
☒ No

e. What additional activities are conducted in your State to support enforcement and compliance with State tobacco access law(s)? (Check all that apply.)

- ☒ Merchant education and/or training
☐ Incentives for merchants who are in compliance (e.g., nonenforcement compliance checks in which compliant retailers are given positive reinforcement)

and noncompliant retailers are warned about youth access laws)

- ☒ Community education regarding youth access laws
- ☐ Media use to publicize compliance inspection results
- ☐ Community mobilization to increase support for retailer compliance with youth access laws
- ☒ Other activities (Please list.) FDA-supported inspections, Prevention activities described below

Briefly describe all checked activities:

During SFY 2012, the VaDBHDS Office of Behavioral Health Services, utilizing SAPT Prevention funding, supported contracts with Virginia Commonwealth University and the Virginia Foundation for Healthy Youth (VFHY) (formally Virginia Tobacco Settlement Foundation), to provide training programs, including the logistics and support materials for the training. Continuation of the Synar Curriculum Infusion Program provided education related to youth access to tobacco products as part of subrecipient recurring education programs and single event activities for parents and youth. The Department continued collaboration with the Virginia Alcoholic Beverage Control Board (ABC), VFHY and others to implement a statewide system to educate, monitor and enforce the prohibition of tobacco and alcohol use by minors, and the sale of tobacco products and alcohol to minors, including merchant education programs and materials related to youth access to alcohol and tobacco for all ABC licensees.

SFY 2012 Synar-Related Prevention Activities:

Prevention subrecipients of the Department of Behavioral Health and Developmental Services (DBHDS) provided Synar-related services to 41,479 unduplicated individuals. Seventy-six percent of the 1,301,982 total (duplicated) participants of prevention programs received some type of Synar-related material or participated in Synar-related activities.

Community Services Boards and Behavioral Health Authorities personnel spent a total of 81,729 hours involved in executing initiatives relating to tobacco prevention. Sixty-seven percent of the total time used for prevention programs included Synar-related information and activities.

The Community Services Boards (CSBs) and Behavioral Health Authorities (BHAs) have implemented various smoking prevention activities in their respective localities. These include evidence-based programs and other universal and selective programs designed to reduce ATOD use. CSBs/BHAs partnered with local Sheriff Departments, Department of Social Services, Boys and Girls Clubs, libraries, schools, and Universities. Rockbridge Area Community Services Board partnered with a local grocery store that allowed a booth to be set-up in the store for a shopping cart comparison that compared a cart containing a carton of cigarettes and its price next to a cart full of groceries and its price.

Evidence-based Programs with Tobacco-Use Prevention
 Components Conducted by Subrecipients:
 Al's Pals: Kids Making Healthy Choices
 Active Parenting now
 All Stars
 Brief Alcohol Screening and Intervention for College Students
 Children in the Middle
 Children of Divorce Intervention Program (CODIP)
 Communities Mobilizing for Change on Alcohol
 Community Trials Intervention
 Continuing Groups -- Active Parenting now
 Continuing Groups -- Communities Mobilizing for Change on Alcohol
 Continuing Groups -- Positive Action
 Continuing Groups -- Project SUCCESS
 Continuing Groups -- Second Step
 Continuing Groups -- Strengthening Families Program
 Continuing Groups -- Too Good For Drugs (TGFD)
 Continuing Groups -- Too Good for Drugs and Violence
 Creating Lasting Family Connections CLFC
 DARE to Be You
 Families And Schools Together (FAST)
 Get Real About Violence
 Get Real About Violence
 Girl Power!
 Guiding Good Choices
 Incredible Years
 JOBS Program
 Keep A Clear Mind
 Leadership and Resiliency
 Life Skills Training
 N-O-T on Tobacco
 Nurturing Parenting Programs
 Olweus Bullying Prevention

Parenting Wisely
 Promoting Alternative Thinking Strategies (PATHS)
 Positive Action
 Project ALERT
 Project SUCCESS
 Project Towards No Drug Abuse (TND)
 Project Towards No Tobacco Use (TNT)
 Protecting You/Protecting Me
 Responding in Peaceful and Positive Ways (RIPP)
 Safe Dates
 Second Step
 SOS: Signs of Suicide
 Strengthening Families Program
 Strengthening Families Program 12-16
 Strengthening Families Program: For Parents and Youth 10-14
 Too Good For Drugs (TGFD)
 Too Good For Violence

- f. **Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey?** ☒ Yes ☐ No

If "Yes" to 5f, please describe the State's procedure for minimizing risk of bias to the survey results from retailers alerting each other to the presence of the survey teams:

Annual inspections are randomized and not clustered, so nearby merchants are not typically inspected at the same time.

- g. **Please describe the relationship between the State's Synar program and the Food and Drug Administration-funded enforcement program:**

Virginia ABC entered into a contract with FDA this year. VaDBHDS staff participate in meetings with ABC and FDA staff and provide a listing of tobacco outlets to use in conducting FDA-supported inspections.

SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the State to meet the requirements of the Synar Regulation in FFY 2012 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

6. Has the sampling methodology changed from the previous year? ☐ Yes ☒ No

The State is required to have an approved up-to-date description of the Synar sampling methodology on file with CSAP. Please submit a copy of your Synar Survey Sampling Methodology (Appendix B). If the sampling methodology changed from the previous reporting year, these changes must be reflected in the methodology submitted.

7. Please answer the following questions regarding the State's annual random, unannounced inspections of tobacco outlets (see 45 C.F.R. 96.130(d)(2)).

- a. Did the State use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data? ☒ Yes ☐ No

If Yes, attach SSES summary tables 1, 2, 3, and 4 to the hard copy of the ASR and upload a copy of SSES tables 1–5 (in Excel) to WebBGAS. Then go to Question 8. If No, continue to Question 7b.

- b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, the standard error, accuracy rate (number of eligible outlets divided by the total number of sampled outlets), and completion rate (number of eligible outlets inspected divided by the total number of eligible outlets).

Unweighted RVR _____

Weighted RVR _____

Standard error (s.e.) of the (weighted) RVR _____

Fill in the blanks to calculate the right limit of the right-sided 95% confidence interval.

_____ + (1.645 × _____) = _____
RVR Estimate plus (1.645 times Standard Error) equals Right Limit

Accuracy rate _____

Completion rate _____

- c. Fill out Form 1 in Appendix A (Forms 1–5). (Required regardless of the sample design.)

- d. How were the (weighted) RVR estimate and its standard error obtained? (Check the one that applies.)

☐ Form 2 (Optional) in Appendix A (Forms 1–5) (Attach completed Form 2.)

☐ Other (Please specify. Provide formulas and calculations or attach and explain the program code and output with description of all variable names.)

- e. If stratification was used, did any strata in the sample contain only one outlet or cluster this year? ☐ Yes ☐ No ☐ No stratification

If Yes, explain how this situation was dealt with in variance estimation.

- f. Was a cluster sample design used? ☐ Yes ☐ No

If Yes, fill out and attach Form 3 in Appendix A (Forms 1–5), and answer the following question.

If No, go to Question 7g.

Were any certainty primary sampling units selected this year? ☐ Yes ☐ No

If Yes, explain how the certainty clusters were dealt with in variance estimation.

g. Report the following outlet sample sizes for the Synar survey.

	Sample Size
Effective sample size (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)	
Target sample size (the product of the effective sample size and the design effect)	
Original sample size (inflated sample size of the target sample to counter the sample attrition due to ineligibility and noncompletion)	
Eligible sample size (number of outlets found to be eligible in the sample)	
Final sample size (number of eligible outlets in the sample for which an inspection was completed)	

h. Fill out Form 4 in Appendix A (Forms 1–5).

8. Did the State's Synar survey use a list frame? ☒ Yes ☐ No

If Yes, answer the following questions about its coverage.

a. The calendar year of the latest frame coverage study: 2010

b. Percent coverage from the latest frame coverage study: 92%

c. Was a new study conducted in this reporting period? ☐ Yes ☒ No

If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.

d. The calendar year of the next coverage study planned: 2013

9. Has the Synar survey inspection protocol changed from the previous year?

☐ Yes ☒ No

The State is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.

a. Provide the inspection period: From 7/1/12 to 8/15/12
MM/DD/YY MM/DD/YY

b. Provide the number of youth inspectors used in the current inspection year:

24

NOTE: If the State uses SSES, please ensure that the number reported in 9b matches that reported in SSES Table 4, or explain any difference.

c. Fill out and attach Form 5 in Appendix A (Forms 1–5). (Not required if the State used SSES to analyze the Synar survey data.)

SECTION II: FFY 2013 (Intended Use):

Public law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the States provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.

1. In the upcoming year, does the State anticipate any changes in:

Synar sampling methodology ☐ Yes ☒ No

Synar inspection protocol ☐ Yes ☒ No

If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the State is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.

2. Please describe the State's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2013. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.

Va DBHDS is pleased to continue to meet the required target of 20 percent noncompliance this year, and will continue to work to further reduce the rate of noncompliance in the upcoming reporting cycle. No changes to the inspection protocol are planned, and no legislative activities or regulatory changes are anticipated. The Department of Alcoholic Beverage Control will continue to conduct the inspections on contract with the Va DBHDS.

Va DMHMRSAS has developed strong agency partners in ABC and VDH. By instituting a formal contractual relationship with the ABC, it has assured that inspections occurred in a timely fashion.

3. Describe any challenges the State faces in complying with the Synar regulation. (Check all that apply.)

- ☒ Limited resources for law enforcement of youth access laws
- ☐ Limited resources for activities to support enforcement and compliance with youth tobacco access laws
- ☐ Limitations in the State youth tobacco access laws
- ☐ Limited public support for enforcement of youth tobacco access laws
- ☒ Limitations on completeness/accuracy of list of tobacco outlets
- ☐ Limited expertise in survey methodology
- ☐ Laws/regulations limiting the use of minors in tobacco inspections
- ☐ Difficulties recruiting youth inspectors

- ☐ Geographic, demographic, and logistical considerations in conducting inspections
- ☐ Cultural factors (e.g., language barriers, young people purchasing for their elders)
- ☐ Issues regarding sources of tobacco under tribal jurisdiction
- ☐ Other challenges *(Please list.)* _____

Briefly describe all checked challenges and propose a plan for each, or indicate the State's need for technical assistance related to each relevant challenge.

A major challenge faced by Virginia in complying with Synar regulations has been the lack of a comprehensive list of tobacco retailers on which to base the sample for compliance inspections. VaDBHDS attempts to address this problem by supplementing the Dunn & Bradstreet listing with a list of retailers provided by Philip Morris. The recent contract between ABC and FDA for tobacco enforcement will provide resources for additional agent time devoted to tobacco enforcement activities.

SSES Table 1 (Synar Survey Estimates and Sample Sizes)

CSAP-SYNAR REPORT

State	Virginia
Federal Fiscal Year (FFY)	2013
Date	11/14/2012 8:49
Data	SynarResult2013.xlsx
Analysis Option	Stratified SRS with FPC

Estimates

Unweighted Retailer Violation Rate	13.5%
Weighted Retailer Violation Rate	13.5%
Standard Error	1.8%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 16.4%]
Two-sided 95% Confidence Interval	[9.9%, 17.0%]
Design Effect	1.0
Accuracy Rate (unweighted)	32.5%
Accuracy Rate (weighted)	32.5%
Completion Rate (unweighted)	98.3%

Sample Size for Current Year

Effective Sample Size	476
Target (Minimum) Sample Size	1,071
Original Sample Size	1,071
Eligible Sample Size	348
Final Sample Size	342
Overall Sampling Rate	3.1%

SSES Table 2 (Synar Survey Results by Stratum and by OTC/VM)

STATE: Virginia

FFY: 2013

Samp. Stratum	Var. Stratum	Outlet Frame Size	Estimated Outlet Population Size	Number of PSU Clusters Created	Number of PSU Clusters in Sample	Outlet Sample Size	Number of Eligible Outlets in Sample	Number of Sample Outlets Inspected	Number of Sample Outlets in Violation	Retailer Violation Rate(%)	Standard Error(%)
All Outlets											
1	1	34,684	11,270	N/A	N/A	1,071	348	342	46	13.5%	
Total		34,684	11,270			1,071	348	342	46	13.5%	1.8%
Over the Counter Outlets											
1	1	34,684	11,270	N/A	N/A	1,071	348	342	46	13.5%	
Total		34,684	11,270			1,071	348	342	46	13.5%	1.8%
Vending Machines											
1	1	0	0	N/A	N/A	0	0	0	0	0.0%	
Total		0	0			0	0	0	0	0.0%	0.0%

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: Virginia
FFY: 2013

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	342	
Total (Eligible Completes)			342
N1	In operation but closed at time of visit	3	
N2	Unsafe to access	2	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	1	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	0	
N9	Other noncompletion	0	
Total (Eligible Noncompletes)			6
I1	Out of Business	148	
I2	Does not sell tobacco products	332	
I3	Inaccessible by youth	0	
I4	Private club or private residence	63	
I5	Temporary closure	0	
I6	Can't be located	175	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	0	
I9	Duplicate	2	
I10	Other ineligibility (see below)	3	
Total (Ineligibles)			723
Grand Total			1071

Give reasons and counts for other ineligibility:

Reason	Count
Military base	1
Secure government building	1
Secure entrance building	1

SSES Table 4 (Synar Survey Inspection Results by Youth Inspector Characteristics)

STATE: Virginia

FFY: 2013

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	1	13	1
	16	11	165	21
	17	0	0	0
	18	0	0	0
	Subtotal	12	178	22
Female	14	0	0	0
	15	2	51	8
	16	9	105	14
	17	1	8	2
	18	0	0	0
	Subtotal	12	164	24
Other		0	0	0
Grand Total		24	342	46

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	7.7%	15.7%	14.1%
16	12.7%	13.3%	13.0%
17	0.0%	25.0%	25.0%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	12.4%	14.6%	13.5%

APPENDIXES B & C: FORMS

Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the State's CSAP-approved sampling design and inspection protocol. These appendixes, therefore, should generally describe the design and protocol and, with the exception of Question #10 of Appendix B, are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance, written approval. To facilitate the State's completion of this section, simply cut and paste the previously approved sampling design (Appendix B) and inspection protocol (Appendix C).

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: Virginia

FFY: 2013

1. What type of sampling frame is used?

- ☒ List frame (*Go to Question 2.*)
☐ Area frame (*Go to Question 3.*)
☐ List-assisted area frame (*Go to Question 2.*)

2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (After completing this question, go to Question 4.)

Use the corresponding number to indicate Type of Source in the table below.

- 1 – Statewide commercial business list 4 – Statewide retail license/permit list
 2 – Local commercial business list 5 – Statewide liquor license/permit list
 3 – Statewide tobacco license/permit list 6 – Other

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
iMarket list of Dunn and Bradstreet	1	The purchased list is generated based on the North American Industry Classification System (NAICS formerly SIC) codes of businesses that are likely to sell tobacco over the counter. The NAICS codes are 5411 (grocery stores), 5541 (gasoline stations), 5912 (drug stores), 5812 (restaurants), 5993 (tobacco stores), 5399 (general merchandises), 5994 (news stands), 5999 (miscellaneous retail stores), and 7933 (bowling centers).	Updated Annually
Philip Morris	6	Phillip Morris' STARS list of retailers with whom they have transacted within the prior 12 weeks (this list is maintained by a private company that manages tobacco retail customers lists for several tobacco manufacturers).	Updated Annually

3. If an area frame is used, describe how area sampling units are defined and formed.

- a. Is any area left out in the formation of the area frame?** ☐ Yes ☒ No

If Yes, what percentage of the State's population is not covered by the area frame?
 _____%

4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey? ☐ Yes ☒ No

If No, please indicate the reason they are not included in the Synar survey.

- ☐ State law bans vending machines.
☒ State law bans vending machines from locations accessible to youth.
☐ State has SAMHSA approval to exempt vending machines from the survey.
☐ Other (Please describe.) _____

5. Which category below best describes the sample design? (Check only one.)

☐ **Census** (STOP HERE: Appendix B is complete.)

Unstratified statewide sample:

- ☐ Simple random sample (Go to Question 9.)
☒ Systematic random sample (Go to Question 6.)
☐ Single-stage cluster sample (Go to Question 8.)
☐ Multistage cluster sample (Go to Question 8.)

Stratified sample:

- ☐ Simple random sample (Go to Question 7.)
☐ Systematic random sample (Go to Question 6.)
☐ Single-stage cluster sample (Go to Question 7.)
☐ Multistage cluster sample (Go to Question 7.)
☐ **Other** (Please describe and go to Question 9.) _____

6. Describe the systematic sampling methods. (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)

An iMarket list based on the NAICS codes listed above in Question 2 will be purchased annually. This list will include information on approximately 25,000 outlets. From this list, two groups will be eliminated:

- 1-franchises that have a corporate policy against tobacco sales;
2-vendors identified as not selling during previous compliance inspections;

Remaining vendors from the D& B list will be combined with the Philip Morris list of current retailers. This final cleaned list will be de-duplicated to ensure randomness of sampling and avoid systematic bias.

The sample will be drawn from the combined, cleaned list in the following manner: As in prior approved methodology (formula in 9, below), a systematic sample will be selected after sorting the list by zip codes (this results in implicit stratification).

7. Provide the following information about stratification.

- a. Provide a full description of the strata that are created.

NA

- b. Is clustering used within the stratified sample?

☐ Yes (Go to Question 8.)

☒ No (Go to Question 9.)

8. Provide the following information about clustering.

- a. Provide a full description of how clusters are formed. (If multistage clusters are used, give definitions of clusters at each stage.)

- b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.

9. Provide the formulas for determining the effective, target, and original outlet sample sizes.

Effective sample size is determined as follows:

Where

$$n_e = \frac{p(1-p)NZ^2}{d^2(N-1) + (p(1-p)Z^2)}$$

N = total population,

p = RVR from the previous year's survey

Z = 1.96 (corresponding to confidence level of 95% for a two-sided interval), and

d = 0.03, which is the SAMHSA precision requirement.

Target sample size (nt) is the same as the effective sample size assuming that the design effect is one.

Using a safety margin of 30 percent, the original sample size was then determined by

$n_o = 1.3 * n_t / (AR * CR)$ where AR = accuracy rate from the previous year's survey and CR = completion rate from the previous year's survey.

10. Provide the following information about sample size calculations for the current FFY Synar survey.

- a. If the State uses the sample size formulas embedded in the Synar Survey Estimation System (SSES) Sample Size Calculator, please provide the following information:

Inputs for Effective Sample Size:

RVR: 13.0%

Frame Size: 34,684

Input for Target Sample Size:

Design Effect: 1

Inputs for Original Sample Size:

Safety Margin: 30%

Accuracy (Eligibility) Rate: 58.2%

Completion Rate: 99.3%

- b. If the State does not use the sample size formulas embedded in the SSES Sample Size Calculator, please provide all inputs required to calculate the effective, target, and original sample sizes as indicated in Question 9.

N = total population = 34,684

p = RVR from the previous year's survey = 13.0%

Z = 1.96 (corresponding to confidence level of 95% for a two-sided interval), and

d = 0.03, which is the SAMHSA precision requirement.

AR = accuracy rate from the previous year's survey = 58.2%

CR = completion rate from the previous year's survey = 99.3%

Safety margin = 30%

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APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: Virginia

FFY: 2013

Note: Upload to WebBGAS a copy of the Synar inspection form under the heading "Synar Inspection Form" and a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections under the heading "Synar Inspection Protocol."

1. How does the State Synar survey protocol address the following?

a. Consummated buy attempts?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

b. Youth inspectors to carry ID?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

c. Adult inspectors to enter the outlet?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

d. Youth inspectors to be compensated?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

2. Identify the agency(ies) or entity(ies) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply.)

- ☒ Law enforcement agency(ies)
☐ State or local government agency(ies) other than law enforcement
☐ Private contractor(s)
☐ Other

List the agency name(s): Virginia Department of Alcoholic Beverage Control

3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement representatives issue warnings or citations to retailers found in violation of the law at the time of the inspection?)?

- ☒ Always ☐ Usually ☐ Sometimes ☐ Rarely ☐ Never

4. Describe the methods used to recruit, select, and train youth inspectors and adult supervisors.

Trained and experienced special agents are responsible for training new agents and minors. Whenever possible, newly recruited minors observe experienced UABs conducting compliance checks prior to participating in actual compliance checks.

Regional Special Agents in Charge (SAC) at each of the eight regional ABC offices recruit the underage buyers. The SAC assigns a special agent who is experienced in undercover operations as the case agent. The case agent is always present and actively supervises all UAB operations, including training the UAB.

The following topics are covered in training:

Selection and retention of the UAB

Basis for selection

Importance of appearance and proper dress

Consistent hairstyling

Age appropriate use of make-up

Age appropriate clothing

Entrapment

Rules of Evidence

Observation and mental note taking

Court and Administrative Procedures

A typical shift

What to do if the UAB is known to seller

Purpose and use of body wires if applicable

Detailed purchase instructions

Prohibited activities of the UAB

--

5. Are there specific legal or procedural requirements instituted by the State to address the issue of youth inspectors' immunity when conducting inspections?

a. Legal ☒ Yes ☐ No (If Yes, please describe.)

<p>§ 18.2-371.2 . No person less than 18 years of age shall attempt to purchase, purchase or possess any tobacco product, including but not limited to cigarettes, cigars, bidis, and wrappings. The provisions of this subsection shall not be applicable to the possession of tobacco products, including wrappings, by a person less than 18 years of age making a delivery of tobacco products, including wrappings, in pursuance of his employment. This subsection shall not apply to purchase, attempt to purchase or possession by a law-enforcement officer or his agent when the same is necessary in the performance of his duties.</p>
--

b. Procedural ☐ Yes ☒ No (If Yes, please describe.)

--

6. Are there specific legal or procedural requirements instituted by the State to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?

a. Legal ☐ Yes ☒ No (If Yes, please describe.)

b. Procedural ☒ Yes ☐ No (If Yes, please describe.)

Two adult ABC special agents accompany one underage buyer (UAB) during compliance checks. One special agent enters the retail establishment just prior to or just after the UAB, in a manner that ensures anonymity of the UAB as well as the safety of the UAB. Providing two agents assures the safety of the UAB and prevents any improper conduct with the UAB. When the UAB is female, efforts are made to assure that one of the special agents is also a female

7. Are there any other legal or procedural requirements the State has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?

a. Legal ☐ Yes ☒ No (If Yes, please describe.)

b. Procedural ☒ Yes ☐ No (If Yes, please describe.)

UABs are between 15 and 17 years of age.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: Virginia

FFY: 2013

1. Calendar year of the coverage study: _____
2.
 - a. Unweighted percent coverage found: _____%
 - b. Weighted percent coverage found: _____%
 - c. Number of outlets found through canvassing: _____
 - d. Number of outlets matched on the list frame: _____
3.
 - a. Describe how areas were defined. (e.g., census tracts, counties, etc.)

- b. Were any areas of the State excluded from sampling? ☐ Yes ☐ No

If Yes, please explain.

4. Please answer the following questions about the selection of canvassing areas.

- a. Which category below best describes the sample design? (Check only one.)

☐ Census (Go to Question 6.)

Unstratified Statewide sample:

☐ Simple random sample (Respond to Part b.)

☐ Systematic random sample (Respond to Part b.)

☐ Single-stage cluster sample (Respond to Parts b and d.)

☐ Multistage cluster sample (Respond to Parts b and d.)

Stratified sample:

☐ Simple random sample (Respond to Parts b and c.)

☐ Systematic random sample (Respond to Parts b and c.)

☐ Single-stage cluster sample (Respond to Parts b, c, and d.)

☐ Multistage cluster sample (Respond to Parts b, c, and d.)

☐ Other (Please describe and respond to Part b.) _____

- b. Describe the sampling methods.

c. Provide a full description of the strata that were created.

d. Provide a full description of how clusters were formed.

5. Were borders of the selected areas clearly identified at the time of canvassing?

☐ Yes ☐ No

6. Were all sampled areas visited by canvassing teams?

☐ Yes (*Go to Question 7.*) ☐ No (*Respond to Parts a and b.*)

a. Was the subset of areas randomly chosen?

☐ Yes ☐ No

b. Describe how the subsample of visited areas was drawn. Include the number of areas sampled and the number of areas canvassed.

7. Were field observers provided with a detailed map of the canvassing areas?

☐ Yes ☐ No

If No, describe the canvassing instructions given to the field observers.

8. Were field observers instructed to find all outlets in the assigned area?

☐ Yes ☐ No

If No, respond to Question 9.

If Yes, describe any instructions given to the field observers to ensure the entire area was canvassed, then go to Question 10.

9. If a full canvassing was not conducted:

a. How many predetermined outlets were to be observed in each area? _____

b. What were the starting points for each area? _____

c. Were these starting points randomly chosen? ☐ Yes ☐ No

d. Describe the selection of the starting points.

- e. Please describe the canvassing instructions given to the field observers, including predetermined routes.

10. Describe the process field observers used to determine if an outlet sold tobacco.

11. Please provide the State's definition of "matches" or "mismatches" to the Synar sampling frame? (i.e., address, business name, business license number, etc).

12. Provide the calculation of the weighted percent coverage (if applicable).